CASE RECORDS

Purpose: This category describes case record numbering, content format and flagging for Necessary Supplemental Accommodation (NSA) services and Limited English Proficiency (LEP) interpreter and translating services to ensure statewide consistency. Also included in this category is the case record transfer process and the sharing of cases.

There are no specific program rules governing the maintenance and storage of financial information.

CLARIFYING INFORMATION

The electronic ACES system stores eligibility information including documentation regarding each case action and eligibility decision. The physical case record contains the written documents and verification items submitted by the client and used to establish eligibility for programs authorized by CSO financial staff. Documents filed in the case record provide reviewers with an eligibility audit trail.

Assignment of numbers

1.   ACES assigns a nine digit Client Identification Number (CLID) to each person entered into the system. This number, once assigned, does not change and is used as the CLID for all programs. The assigned number is stored in the ACES system even when the client is not active.

2.   The case record number assigned to the physical case record is the CLID of the person identified as the head of the household in the ACES system. The first person entered into ACES and identified with valid value code [SE] on the (STAT) screen is the person identified by ACES as the head of the household. If the head of the household changes, the case number changes.

3.   ACES assigns a nine digit Assistance Unit number (AUID) to identify assistance units by program. Cash with accompanying medical benefits has one AUID. A group of persons receiving cash with related medical and food assistance benefits share two AUID numbers.

4.   Case records containing financial information are identified with the case number written in red ink on the jacket cover. Social service case records are identified with

the case number written in black ink.   The number appears on the jacket cover lined up against the right bottom side.

Example: The head of household's CLID is 00234586. The case number would appear on the jacket cover like this:

00234
  56
  78

5.   The fourth digit from the end of the case number determines the case jacket color as follows:

0 = white	5 = brown
1 = red	6 = blue
2 = yellow	7 = orange
3 = pink	8 = purple
4 = green	9 = tan

Example: In case number 002345678, the fourth digit from the end is (5). The case jacket color is brown.

6.   Case records are filed by color and number, or alphabetically, according to CSO preference.

WORKER RESPONSIBILITIES

Case Record Format

1.   Case records for persons of Limited English Proficiency (LEP) or needing Necessary Supplemental Accommodation (NSA) must be clearly identified with LEP or NSA written on the front jacket cover.

2.   The Financial Case Record has a format for the filing of documents in three basic sections. Items are filed in reverse chronological order. That is, the most recent date on top. The sections are:

    a. Application Section

The application section is attached to the inside front cover of the case record using a two-prong fastener through the top of each item. Items filed here include:

(1)   Applications;

(2)   Eligibility reviews submitted and signed by the client;

(3)   LEP request; and

(4)   NSA determination.

b. Main Body Section

The main body contains documents submitted by the client or gathered from collateral contacts which verify situations that change. These documents establish eligibility and payment amount on a month by month basis. All items are bradded together in the upper left-hand corner. Examples of documents placed here would include:

(1)   Wage stub copies;

(2)   Monthly reports;

(3)   Start/Stop work statement;

(4)   Employer work estimates;

(5)   Award letters for pensions and other benefits;

(6)   Landlord statements;

(7)   Utility bills;

(8)   Tax statements;

(9)   Change of circumstances;

(10)   Social service communication documents not accessible in ACES;

(11)   Rights and Responsibilities; and

(12)   Any other document verifying a change which is not permanent.

c. Verification Section

The verification section holds documents verifying eligibility factors which are not subject to change. These permanent documents are attached to the back inside cover of the record with a two-prong fastener through the top of the document. Documents placed here verify:

(1)   Personal Identification;

(2)   Age and family relationship;

(3)   Social Security numbers;

(4)   Citizenship, or alien status;

(5)   Marital status;

(6)   Parentage; and

(7)   Resources.

Splitting, Separating, Combining Case Records

1.   Splitting or dividing case records into volumes occurs when the contents exceed the space allowed by the folder. Include in the new record:

a.   **All** documents verifying permanent factors;

b.   The last signed application or eligibility review;

c.   Other documents less than six months old.

2.   Separate documents in a record when one household separates into two or more

households.

      a.   Separate all verification documents by person as indicated for each new household;

      b.   Photocopy documents less than six months old which verify eligibility factors common to all household members;

      c.   File in new folders. The new case file number is designated by the new head of household's CLID as assigned by ACES.

3.   Combine records when two or more separate households establish themselves as one family unit, as when two clients get married.

      a.   Use the CLID of the new head of household to establish the ongoing case record number;

      b.   Remove verification of permanent factors of eligibility from the old record and insert in the new case record folder;

      c.   Note in the ACES narrative that verification documents remain in the old record when it is not possible to obtain the items or photocopy the items.

Case Transfers

Both the electronic record and the physical case record are transferred when the client moves from one CSO catchment area to another. The request for transfer can be made from the client or the CSO by phone or written request. The new worker can use a 450 ACES alert or E-mail request.

1.   Electronic transfer time frames

      a.   Where there is a pending application or the client meets expedited service requirements, transfer by the next working day after the request is received;

      b.   For all other cases, transfer by the second working day after the request is received.

2.   Physical case record time frame
      Notify the transfer-out clerk to transfer the case record file within three days of the

electronic file transfer.

Note: Do not transfer electronic or paper case records of clients receiving Chemical Dependency treatment. The originating CSO and assessment center retain control of these cases throughout the client's course of treatment starting with the application. This is true even when the treatment takes place in an out-of-county facility and includes chemical dependency clients receiving food assistance. The originating CSO can waive the face-to-face interview requirement for food assistance.

The only exception to this rule is for chemical dependency client transfers from the Mt. Vernon CSO for individuals who have been at the Pioneer Center North.

ACES PROCEDURES

LEP - NSA

ACES supports both the LEP and NSA requirements. These fields are found on the (NAME) screen during screening and the (ADDR) screen during interviewing..

1.   Enter the primary language code and interpreter needed indicator;

2.   The default setting in ACES for NSA is [N]. Enter [Y]. Document on the remarks (REMA) behind the (NAME) and (ADDR) screens that the client has been identified as NSA. Document the particulars regarding the accommodation plan.

Case Transfers

The electronic transfer takes place on-line in real time. As soon as eligibility is confirmed, the electronic file is transferred to the receiving CSO into the new worker's caseload. The owner of the case in the previous office can access the case until batch runs that night.

1.   Before electronic transfer:

a.   Complete any pending actions;

b.   Complete known overpayments;

c.   Redirect benefits for the next month on all assistance units moving to the new

        office; see **BENEFIT ISSUANCES** for instructions;

  d.   Notify others involved in the case of the transfer;

  e.   Update the narrative (NARR) with information about actions taken and the transfer;

  f.   Alerts are not automatically sent with the case. Transfer any pending alerts to the new worker of record; notify your supervisor to transfer any pending #450 alerts; see **ACES** for instructions on transferring alerts.

2.   Transferring active cases

  a.   From the (AMEN), select [R] and enter the AUID;
         Note: You can electronically transfer a case only when in the ongoing month in ACES. You cannot bypass the edit which appears if you try to transfer a case in a historical month.

  b.   <TRANSMIT> to access the address screen (ADDR);

  c.   By changing the address, an edit appears asking if you want to transfer the case;

  d.   Enter the new CSO number in the (CSO) field at the top of the screen (A listing is included at the end of this category);

  e.   Whether you want to transfer the record or not, you must press F4 to bypass the transfer edit;

  f.   If the new address is not known, change any part of the address and enter the new CSO number in the CSO field at the top of the screen;

  g.   When eligibility is confirmed, Notice 0024, Notice of Case Reassignment, is sent to the client in overnight batch;

  h.   You may suppress the notice and send Transfer Letter V06G from the (MAFI), (CAFI), or (FSFI) screens. The landlord statement is included;

  i.   The transfer letter to be attached to the physical record is TRAN. This letter

notifies the new office of the type of assistance being received and has room to add comments about the case.

3.   Transferring closed cases

   a.   A closed or denied assistance unit cannot be electronically transferred to another office;

   b.   Once screened, a case becomes pending and can then be transferred.

   Example: A case is closed at Pierce West. The client applies for benefits at King South. King South screens the case to reopen it by selecting option [J] on the (AMEN) and entering the closed AUID number. A worker from King South requests the transfer from Pierce West. The case can now be transferred because ACES recognizes it as pending, not closed. Until the transfer is done, only the user assigned to the AU at screening can proceed with the interviewing function in ACES. If no financial worker is assigned on the (SCDI) screen during screening, the previous office must transfer the case before any action can be taken.

Shared cases

1.   General Information

   a.   ACES links AUs together into a case unit when the AUs contain clients in common. AUs with common members cannot be separated.

   b.   A case unit becomes a shared case when one CSO, HCS, or the MEDS unit has an AU that is active or pending and another CSO, HCS, or the MEDS unit screens in an application for assistance for a member of that AU.

   c.   The only time cases are shared on an ongoing basis is when a CSO shares a case unit with the MEDS unit; examples include:

      (1)   Client active in an AU administered by a CSO applies for BHP Plus medical assistance;

(2) Client active in a BHP Plus medical AU applies for any other type of assistance through a CSO.

d. In all other instances, the case is shared only until one office transfers the case to the other or terminates assistance for the common members.
(1) Cases are not shared between a CSO and HCS.

(2) The CSO owns the case unit when a member of a TANF related AU is placed in long term care;

(3) The HCS office owns a case when a long term care client also receives food assistance.

e. BHP Plus medical AUs are identified with a [Y] in the BHP Plus field on the (MISC) screen and the User ID is stated. The (DONE) screen also identifies a BHP Plus medical AU.

2. Cases shared by a CSO and the MEDS Unit

ACES assigns ownership of shared cases depending upon the head of household entered for each AU.

a. Same head of household for all Aus: The CSO has ownership of the case unit including the BHP Plus AU;

b. Different heads of household for BHP Plus and non-MEDS AU: The MEDS unit has ownership of the BHP Plus AU and the CSO has ownership of the other Aus.

c. When an AU is active in either a CSO or the MEDS Unit and a new application is screened in, edit 0229 appears with message (AU and FW are not in the same CSO);

d. <F3> out of screening.

3. MEDS Unit responsibilities for shared cases

The MEDS Unit is responsible for maintaining the BHP Plus AU regardless of who owns the case.

a. When the CSO has an active AU, only a MEDS worker assigned an enhanced security profile can screen Add A Program, then interview, process, finalize and later update BHP Plus cases;

b. The MEDS user must be aware of how a case action will affect eligibility on the other Aus.

c. If a change affects the other active AUs, place the case in SPA and contact the CSO user for approval to update the other Aus;

4. CSO responsibilities for shared cases

The CSO maintains all non-BHP Plus AUs;

a. When MEDS has an active AU and the CSO receives an application with the same head of household:

(1) Request the MEDS Unit to transfer the case to the CSO;

(2) Upon transfer, screen with the Add A Program function, interview, process and finalize;

(3) The CSO owns the case unit, even though the MEDS Unit has responsibility to update the BHP Plus AU;

b. When MEDS has an active AU and the CSO receives an application with a different head of household no transfer is needed. Screen with Add A Program, interview, process and finalize;

5. Alerts

a. 404 - Another CSO Updated Shared AU

(1) ACES generates to owner of the shared case after overnight batch run;

(2) Generated when action is taken on an AU linked to an active AU in a shared case unit;

        (3)   Generated when action is taken by the MEDS Unit on a non-MEDS AU;

        (4)   Review the action taken by the other office.

  b.   405 - CSO Updated BHP Plus AU

        (1)   Sent to the MEDS Unit user when action is taken on an AU linked to an active BHP Plus AU;

        (2)   Review the action taken by the other office.

Community Services Offices (CSO)- Home and Community Services Offices (HCS)

Each CSO and HCS is assigned a number of up to three digits to identify the catchment area in which the client receives assistance. The CSO number is not part of the CLID or AUID.

The office numbers are:

COUNTY	CSO	CSO # MAIL STOP	HCS	HCS # MAIL STOP
REGION 1				
Okanogan	Okanogan	24 B24-1	Okanogan (Omak)	77 B24-3
Ferry	Republic Outstation (Colville)	10 B10-1	Republic (Colville)	78 L10-2
Stevens	Colville	33 B33-1	Colville	78 B33-5
Pend Oreille	Newport Branch (Colville)	26 B26-1	Newport (Colville)	78 B26-2
Chelan	Wenatchee	04 B04-1	Wenatchee	79 B04-4
Douglas	Douglas County (Wenatchee)	09 B04-1	Wenatchee	79 B04-4
Lincoln	Davenport Branch (Spokane SW)	22 B22-1	Spokane	57 B32-27
Spokane	Spokane Central	32 B32-3	Spokane	57 B32-27
Spokane	Spokane SW	60 B60-1	Spokane	57 B32-27
Spokane	Spokane East	58 B58-1 59	Spokane	57 B32-27

COUNTY	CSO	CSO # MAIL STOP	HCS	HCS # MAIL STOP
Spokane	Spokane North	B59-1	Spokane	57 B32-27
Whitman	Colfax Branch (Spokane Central)	38 B38-1	Colfax (Spokane)	57 B38-3
Adams	Othello	01 B01-2	Moses Lake	81 B13-4
Adams/ Grant	Moses Lake	13 B13-2	Moses Lake	81 B13-4
Asotin	Clarkston	02 B02-1	Clarkston	86 B02-4
Garfield	Garfield Co. (Clarkston)	12 B02-1	Clarkston	86 B02-4
REGION 2				
Kittitas	Ellensburg Branch (Yakima/Kittitas)	19 B19-1	Yakima/Ellensburg	82 B19-3
Yakima	Yakima/Kittitas	69 B69-1	Yakima/Ellensburg	82 B39-14
Yakima	Yakima	39 B39-1	Yakima/Ellensburg	82 B39-14
Yakima	Wapato	75 B75-1	Sunnyside	83 B39-14
Yakima	Toppenish	50 B50-1	Sunnyside	83 B50-3
Yakima	Sunnyside	54 B54-1	Sunnyside	83 B54-4
Yakima	Grandview	70 B70-1	Sunnyside	83 B70-3
Benton	Kennewick	03 B03-4 11	Pasco	84 B11-7

COUNTY	CSO	CSO # MAIL STOP	HCS	HCS # MAIL STOP
Franklin	Pasco	B11-4	Pasco	84 B11-7
Walla Walla	Walla Walla	36 B36-1	Walla Walla	85 B36-4
Columbia	Dayton served by Walla Walla	07 B36-1	Walla Walla	85 B36-4
REGION 3				
San Juan	Friday Harbor Outstation	28 B29-10	Mt.Vernon/Oak Harbor	63 B29-12
Whatcom	Bellingham	37 B37-1	Bellingham	87 B37-8
Skagit	Mt. Vernon	29 B29-1	Mt.Vernon/ Oak Harbor	63 B29-3
Island	Oak Harbor	15 B15-1	Mt.Vernon/Oak Harbor	63 B15-4
Snohomish	Alderwood	52 N52-1	Alderwood	89 N52-3
Snohomish	Skykomish Valley	68 B68-1	Skykomish Valley	90 N68-3
Snohomish	Smokey Point	65 B65-1	Smokey Point	91 B65-3
Snohomish	Everett	31 N31-1	Everett	92 N31-8
REGION 4				
King	Ballard	42 N42-1	King Central	56 N95-2
King	Belltown	47 N47-1	King Central	56 N95-2
King	Burien	44 N44-1	King Central	56 N95-2
King	Capitol Hill	46 N46-1	King Central	56 N95-2

COUNTY	CSO	CSO # MAIL STOP	HCS	HCS # MAIL STOP
King	Federal Way	45 N45-1	King Central	56 N95-2
King	King Eastside	40 N40-1	King Central	56 N95-2
King	King South	43 N43-1	King Central	56 N95-2
King	Lake City	74 N74-1	King Central	56 N95-2
King	Rainier	41 N41-1	King Central	56 N95-2
King	Renton-Holgate	80 N80-1	King Central	56 N95-2
King	West Seattle	55 N55-1	King Central	56 N95-2
REGION 5				
Kitsap	Bremerton	18 W18-1	Bremerton	88 W18-7
Pierce	Pierce North	49 N49-1	Tacoma	66 N66-2
Pierce	Pierce South	48 N48-1	Tacoma	66 N66-2
Pierce	Pierce West	67 N67-1	Tacoma	66 N66-2
Pierce	Puyallup Valley	51 N51-1	Tacoma	66 N66-2
REGION 6				
Clallam	Port Angeles	05 B05-1	Port Angeles	93 B05-3
Clallam	Forks Branch (Port Angeles)	64-1 B64-1	Forks (Port Angeles)	93 B64-4
Clallam	Neah Outstation	64-2 B64-2	Port Angeles	93 B05-3

COUNTY	CSO	CSO # MAIL STOP	HCS	HCS # MAIL STOP
Jefferson	(Port Angeles) Port Townsend Branch (Port Angeles)	16 B16-1	Port Townsend (Port Angeles)	93 B16-3
Grays Harbor	Aberdeen	14 W14-1	Aberdeen	94 W14-5
Grays Harbor	Elma Branch (Aberdeen)	61 W61-1	Aberdeen	94 W14-5
Pacific	Long Beach Branch (Aberdeen)	71 B71-1	Long Beach (Kelso/Long Beach)	97 B71-3
Pacific	South Bend Branch (Aberdeen)	25 B25-1	South Bend (Kelso/Long Beach)	97 B25-4
Mason	Shelton	23 W23-1	Shelton	96 W23-5
Thurston	Olympia	34 45455	Lacey	96 45610
Lewis	Chehalis	21 S21-1	Chehalis	95 S21-4
Cowlitz	Kelso	08 S08-1	Kelso/Long Beach	97 S08-7
Wahkiakum	Wahkiakum Co.served by Kelso	35 S08-1	Kelso/Long Beach	97 S08-7
Clark	Vancouver	06 S06-1	Vancouver	98 S53-4
Clark	Orchards	53 S53-1	Vancouver	98 S53-4
Skamania	Stevenson Branch (Orchards)	30 B30-1	Stevenson (Vancouver)	98 B30-5
Klickitat	Goldendale	62	Goldendale	98

COUNTY	CSO	CSO # MAIL STOP	HCS	HCS # MAIL STOP
	Branch (Orchards)	B62-1	(Vancouver)	B62-5
Klickitat	White Salmon Branch (Orchards)	20 B20-1	White Salmon (Vancouver)	98 B20-5